

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION: Yong Liang CHU, et al.

GROUP ART UNIT: 1636

SERIAL NUMBER: 10/035,223

EXAMINER: Ramin Akhavan

FILED: January 4, 2002

FOR: COMPOUNDS FOR DELIVERING SUBSTANCES INTO CELLS
INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Assistant Commissioner for Patents
PO BOX 1450
ALEXANDRIA, VA 22313-1450

Sir:

Applicant(s) wish(es) to disclose the following information.

REFERENCES

- ☒ Applicant(s) wish(es) to make of record the documents listed on the attached International Search Report and Form PTO-1449. Copies of the listed documents are attached, where required, as are either statements of relevancy or any readily available full or partial English translations of any non-English-language documents.

RELATED CASES

- ☐ Attached is a list of Applicant's(s') pending applications and issued patents which may be related to the present application. Copies of the documents, where required, are attached along with Form PTO-1449.

CERTIFICATION

The undersigned certifies that

- ☒ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application for the first time (to the knowledge of the undersigned, having made reasonable inquiry) not more than three months prior to the filing of this statement.
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement.

BASIS FOR CONSIDERATION

This Information Disclosure Statement is filed:

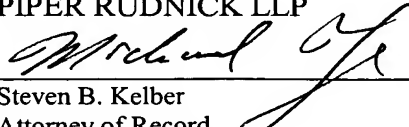
- ☐ without fee and within three months of the filing date of the application.
- ☐ without fee and within three months of the date of entry of the U.S. national stage.
- ☐ without fee and before the mailing date of a first Office Action on the merits (to the knowledge of the undersigned).
- ☒ without fee and with the appropriate certification above.
- ☐ without fee and with a new CPA application.
- ☐ without fee and with a Request for Continued Examination.
- ☐ with fee and before the mailing date of any of a Final Office Action, Notice of Allowance or an action that otherwise closes prosecution (to the knowledge of the undersigned).
- ☐ with fee, appropriate certification above, and before payment of the Issue Fee.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 50-1442.

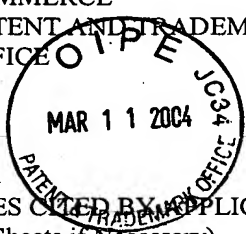
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| Form PTO 1449 U.S. DEPARTMENT OF (Modified) COMMERCE PATENT AND TRADEMARK OFFICE | | DOCKET NO. 3781-002-27 | | SERIAL NO. 10/035,223 | | | |
|  | | APPLICANT Yong Liang CHU, et al. | | | | | |
| | | FILING DATE January 4, 2002 | | GROUP ART UNIT 1636 | | | |
| LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary) | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
| | AA | 2001/0007771 | 7/12/2001 | S. SULLIVAN, et al. | | | |
| | AB | 6,300,321 | 10/9/2001 | D. SCHERMAN, et al. | | | |
| | AC | 6,610,664 | 8/26/2003 | K. LIN, et al. | | | |
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| | AF | | | | | | |
| | AG | | | | | | |
| | AH | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | TRANSLATION YES NO | | |
| | AJ | | | | | | |
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| | AL | | | | | | |
| | AM | | | | | | |
| OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| | AN | Wheeler, Carl J., et al., "A Novel Cationic Lipid Greatly Enhances Plasmid DNA Delivery and Expression in Mouse Lung", Proc. Natl. Acad. Sci. USA, Vol. 93, pp. 11454-11459, October 1996. | | | | | |
| | AO | Mahato Ram I. et al., "Nonviral Vectors for In Vivo Gene Delivery: Physicochemical and Pharmacokinetic Considerations", Critical Reviews in Therapeutic Drug Carrier Systems, Vol. 14, No. 2, pp. 133-172, September 1997. | | | | | |
| | AP | Felgner, Philip L., et al., "Improved Cationic Lipid Formulations for In Vivo Gene Therapy", Vical Incorporated and Genzyme Corporation, pp. 126-139, September 1995. | | | | | |
| | AQ | Fraley, Robert, et al., "Liposome-Mediated Delivery of Deoxyribonucleic Acid to Cells: Enhanced Efficiency of Delivery Related to Lipid Composition and Incubation Conditions", Biochemistry, Vol. 20, pp. 6978-6987, 1981. | | | | | |
| | AR | Byk, Gerardo, et al., "Genetic Chemistry: Tools for Gene Therapy Coming From Unexpected Directions", Drug Development Research, Vol. 50, pp. 566-572, September 2000. | | | | | |
| EXAMINER | | | | | DATE CONSIDERED | | |
| *EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. | | | | | | | |